

<b>SCC eFile</b>	<b>2013 ANNUAL REPORT</b> <b>COMMONWEALTH OF VIRGINIA</b> <b>STATE CORPORATION COMMISSION</b>	<b>213529930</b>			
<div style="display: flex; justify-content: space-between;"> <div style="width: 60%;"> 1.) CORPORATION NAME:  <b>NATIONAL PLANNING CORPORATION</b>  2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS:  <b>CT CORPORATION SYSTEM</b>  <b>4701 COX RD STE 301</b>  <b>GLEN ALLEN, VA</b> </div> <div style="width: 35%;"> DUE DATE: <b>6/30/2013</b>   SCC ID NO: <b>F1342932</b>   5.) STOCK INFORMATION  <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">CLASS</td> <td style="width: 50%;">AUTHORIZED</td> </tr> </table> </div> </div>			CLASS	AUTHORIZED	
CLASS	AUTHORIZED				
3.) CITY OR COUNTY OF VA REGISTERED OFFICE: <b>HENRICO COUNTY</b>					
4.) STATE OR COUNTRY OF INCORPORATION: <b>DE</b>					
6.) PRINCIPAL OFFICE ADDRESS:  <div style="text-align: center;"> ADDRESS: 401 WILSHIRE BLVD, STE 1100  CITY/ST/ZIP: SANTA MONICA, CA 90401 </div>					
7.) DIRECTORS AND PRINCIPAL OFFICERS:      All directors and principal officers must be listed. An individual may be designated as both a director and an officer.					
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 55%; vertical-align: top;"> NAME: JOHN JOHNSON  TITLE: PRES/CEO  ADDRESS: 401 WILSHIRE BLVD  STE 1200  CITY/ST/ZIP/CO: SANTA MONICA, CA 90401 </td> <td style="width: 10%; text-align: center; vertical-align: top;"> <input checked="" type="checkbox"/> OFFICER </td> <td style="width: 35%; text-align: center; vertical-align: top;"> <input checked="" type="checkbox"/> DIRECTOR </td> </tr> </table>			NAME: JOHN JOHNSON TITLE: PRES/CEO ADDRESS: 401 WILSHIRE BLVD STE 1200 CITY/ST/ZIP/CO: SANTA MONICA, CA 90401	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
NAME: JOHN JOHNSON TITLE: PRES/CEO ADDRESS: 401 WILSHIRE BLVD STE 1200 CITY/ST/ZIP/CO: SANTA MONICA, CA 90401	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR			
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 55%; vertical-align: top;"> NAME: ALLAN AVENA  TITLE: VICE PRESIDENT  ADDRESS: 401 WILSHIRE BLVD  STE 1100  CITY/ST/ZIP/CO: SANTA MONICA, CA 90401 </td> <td style="width: 10%; text-align: center; vertical-align: top;"> <input checked="" type="checkbox"/> OFFICER </td> <td style="width: 35%; text-align: center; vertical-align: top;"> <input type="checkbox"/> DIRECTOR </td> </tr> </table>			NAME: ALLAN AVENA TITLE: VICE PRESIDENT ADDRESS: 401 WILSHIRE BLVD STE 1100 CITY/ST/ZIP/CO: SANTA MONICA, CA 90401	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
NAME: ALLAN AVENA TITLE: VICE PRESIDENT ADDRESS: 401 WILSHIRE BLVD STE 1100 CITY/ST/ZIP/CO: SANTA MONICA, CA 90401	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR			
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 55%; vertical-align: top;"> NAME: KIRSTEN BOSCH  TITLE: 1ST VP  ADDRESS: 401 WILSHIRE BLVD  STE 1100  CITY/ST/ZIP/CO: SANTA MONICA, CA 90401 </td> <td style="width: 10%; text-align: center; vertical-align: top;"> <input checked="" type="checkbox"/> OFFICER </td> <td style="width: 35%; text-align: center; vertical-align: top;"> <input type="checkbox"/> DIRECTOR </td> </tr> </table>			NAME: KIRSTEN BOSCH TITLE: 1ST VP ADDRESS: 401 WILSHIRE BLVD STE 1100 CITY/ST/ZIP/CO: SANTA MONICA, CA 90401	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
NAME: KIRSTEN BOSCH TITLE: 1ST VP ADDRESS: 401 WILSHIRE BLVD STE 1100 CITY/ST/ZIP/CO: SANTA MONICA, CA 90401	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR			
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 55%; vertical-align: top;"> NAME: MAURA COLLINS  TITLE: SR VP/CFO  ADDRESS: 401 WILSHIRE BLVD SUITE 1100  CITY/ST/ZIP/CO: SANTA MONICA, CA 90401 </td> <td style="width: 10%; text-align: center; vertical-align: top;"> <input checked="" type="checkbox"/> OFFICER </td> <td style="width: 35%; text-align: center; vertical-align: top;"> <input type="checkbox"/> DIRECTOR </td> </tr> </table>			NAME: MAURA COLLINS TITLE: SR VP/CFO ADDRESS: 401 WILSHIRE BLVD SUITE 1100 CITY/ST/ZIP/CO: SANTA MONICA, CA 90401	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
NAME: MAURA COLLINS TITLE: SR VP/CFO ADDRESS: 401 WILSHIRE BLVD SUITE 1100 CITY/ST/ZIP/CO: SANTA MONICA, CA 90401	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR			
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 55%; vertical-align: top;"> NAME: SCOTT FORBUSH  TITLE: VICE PRESIDENT  ADDRESS: 1 CORPORATE WAY  CITY/ST/ZIP/CO: LANSING, MI 48951 </td> <td style="width: 10%; text-align: center; vertical-align: top;"> <input checked="" type="checkbox"/> OFFICER </td> <td style="width: 35%; text-align: center; vertical-align: top;"> <input type="checkbox"/> DIRECTOR </td> </tr> </table>			NAME: SCOTT FORBUSH TITLE: VICE PRESIDENT ADDRESS: 1 CORPORATE WAY CITY/ST/ZIP/CO: LANSING, MI 48951	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
NAME: SCOTT FORBUSH TITLE: VICE PRESIDENT ADDRESS: 1 CORPORATE WAY CITY/ST/ZIP/CO: LANSING, MI 48951	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR			
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 55%; vertical-align: top;"> NAME: JAMES GARRISON  TITLE: ASSIST VP  ADDRESS: 1 CORPORATE WAY  CITY/ST/ZIP/CO: LANSING, MI 48951 </td> <td style="width: 10%; text-align: center; vertical-align: top;"> <input checked="" type="checkbox"/> OFFICER </td> <td style="width: 35%; text-align: center; vertical-align: top;"> <input type="checkbox"/> DIRECTOR </td> </tr> </table>			NAME: JAMES GARRISON TITLE: ASSIST VP ADDRESS: 1 CORPORATE WAY CITY/ST/ZIP/CO: LANSING, MI 48951	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
NAME: JAMES GARRISON TITLE: ASSIST VP ADDRESS: 1 CORPORATE WAY CITY/ST/ZIP/CO: LANSING, MI 48951	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR			

NAME:	ALFREDO GOMEZ	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	ASSIST VP		
ADDRESS:	401 WILSHIRE BLVD		
	STE 1100		
CITY/ST/ZIP/CO:	SANTA MONICA, CA 90401		
NAME:	JEFF GRIFFITH	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	ASSIST VP		
ADDRESS:	401 WILSHIRE BLVD		
	STE 1100		
CITY/ST/ZIP/CO:	SANTA MONICA, CA 90401		
NAME:	GERRY GUNDERSON	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	PRESIDENT		
ADDRESS:	212 N 4TH STREET		
CITY/ST/ZIP/CO:	BISMARCK, ND 58501		
NAME:	SEAN HALEY	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	SENIOR VP		
ADDRESS:	401 WILSHIRE BLVD		
	STE 1100		
CITY/ST/ZIP/CO:	SANTA MONICA, CA 90401		
NAME:	MARY K HANK	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	ASSIST VP		
ADDRESS:	401 WILSHIRE BLVD		
	STE 1100		
CITY/ST/ZIP/CO:	SANTA MONICA, CA 90401		
NAME:	RUSLAN LEVIN	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	ASSIST VP		
ADDRESS:	401 WILSHIRE BLVD		
	STE 1100		
CITY/ST/ZIP/CO:	SANTA MONICA, CA 90401		
NAME:	CRAIG LEWIS	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	VICE PRESIDENT		
ADDRESS:	401 WILSHIRE BLVD		
	STE 1100		
CITY/ST/ZIP/CO:	SANTA MONICA, CA 90401		
NAME:	MARIA J LINDSLEY	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	VICE PRESIDENT		
ADDRESS:	401 WILSHIRE BLVD		
	STE 1100		
CITY/ST/ZIP/CO:	SANTA MONICA, CA 90401		
NAME:	TODD MANEVAL	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	ASSIST VP		
ADDRESS:	1 CORPORATE WAY		
CITY/ST/ZIP/CO:	LANSING, MI 48951		
NAME:	WENDY MARTINEZ	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	SENIOR VP		
ADDRESS:	401 WILSHIRE BLVD		
	STE 1100		
CITY/ST/ZIP/CO:	SANTA MONICA, CA 90401		

NAME:	KEITH MISTRETTA	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	VICE PRESIDENT		
ADDRESS:	401 WILSHIRE BLVD		
CITY/ST/ZIP/CO:	STE 1100 SANTA MONICA, CA 90401		
NAME:	SCOTT MONTGOMERY	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	VICE PRESIDENT		
ADDRESS:	401 WILSHIRE BLVD		
CITY/ST/ZIP/CO:	STE 1100 SANTA MONICA, CA 90401		
NAME:	MARK PAGE	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	VICE PRESIDENT		
ADDRESS:	401 WILSHIRE BLVD		
CITY/ST/ZIP/CO:	STE 1100 SANTA MONICA, CA 90401		
NAME:	VANESSA LAMBRECHTS	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	VP / CONTROLLER		
ADDRESS:	401 WILSHIRE BLVD		
CITY/ST/ZIP/CO:	STE 1100 SANTA MONICA, CA 90401		
NAME:	MICHAEL SCHAB	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	VICE PRESIDENT		
ADDRESS:	401 WILSHIRE BLVD		
CITY/ST/ZIP/CO:	STE 1100 SANTA MONICA, CA 90401		
NAME:	TIMOTHY P STONE	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	ASSIST VP		
ADDRESS:	401 WILSHIRE BLVD		
CITY/ST/ZIP/CO:	STE 1100 SANTA MONICA, CA 90401		
NAME:	DANIEL WEISS	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	VICE PRESIDENT		
ADDRESS:	401 WILSHIRE BLVD		
CITY/ST/ZIP/CO:	STE 1100 SANTA MONICA, CA 90401		
NAME:	THOMAS J MEYER	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	SECRETARY		
ADDRESS:	1 CORPORATE WAY		
CITY/ST/ZIP/CO:	LANSING, MI 48951		
NAME:	JULIA GOATLEY	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	ASST SECRETARY		
ADDRESS:	1 CORPORATE WAY		
CITY/ST/ZIP/CO:	LANSING, MI 48951		
NAME:	CLIFFORD JACK	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	7601 TECHNOLOGY WAY		
CITY/ST/ZIP/CO:	DENVER, CO 80237		

NAME: TITLE: ADDRESS: CITY/ST/ZIP/CO:	KATHLEEN FEREDAY VICE PRESIDENT 401 WILSHIRE BLVD STE 1100 SANTA MONICA, CA 90401	<input checked="checked" type="checkbox"/>	OFFICER	<input type="checkbox"/>	DIRECTOR
NAME: TITLE: ADDRESS: CITY/ST/ZIP/CO:	RANDALL MILLER VICE PRESIDENT 401 WILSHIRE BLVD STE 1100 SANTA MONICA, CA 90401	<input checked="checked" type="checkbox"/>	OFFICER	<input type="checkbox"/>	DIRECTOR
NAME: TITLE: ADDRESS: CITY/ST/ZIP/CO:	KRISTAN RICHARDSON ASST SECRETARY 1 CORPORATE WAY LANSING, MI 48951	<input checked="checked" type="checkbox"/>	OFFICER	<input type="checkbox"/>	DIRECTOR
NAME: TITLE: ADDRESS: CITY/ST/ZIP/CO:	SARAH CORCE VICE PRESIDENT 401 WILSHIRE BLVD STE 1100 SANTA MONICA, CA 90401	<input checked="checked" type="checkbox"/>	OFFICER	<input type="checkbox"/>	DIRECTOR
NAME: TITLE: ADDRESS: CITY/ST/ZIP/CO:	JIM DEFALCO VICE PRESIDENT 401 WILSHIRE BLVD STE 1100 SANTA MONICA, CA 90401	<input checked="checked" type="checkbox"/>	OFFICER	<input type="checkbox"/>	DIRECTOR
I AFFIRM THAT THE INFORMATION CONTAINED IN THIS ELECTRONIC REPORT IS ACCURATE AND COMPLETE AS OF THE DATE BELOW AND THAT I AM LEGALLY AUTHORIZED TO SIGN THIS REPORT.					
/s/ THOMAS J MEYER		THOMAS J MEYER, SECRETARY		6/26/2013	
SIGNATURE OF DIRECTOR/OFFICER LISTED IN THIS REPORT		PRINTED NAME AND CORPORATE TITLE		DATE	
It is a Class 1 misdemeanor for any person to sign a document, which includes this electronic record, that is false in any material respect with the intent that the document be delivered to the Commission for filing.					